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Federal Agencies

January 16, 2003

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Commissioner for Patents  
Washington, DC 20231

**RECEIVED**  
JAN 21 2003  
**GROUP 3600**

Re: U.S. Utility Patent Application  
Appl. No. 09/988,780; Filed: November 20, 2001  
For: **Method, System and Computer Program Product  
for Risk Assessment and risk Management**

Inventors: Bladen *et al.*  
Our Ref: 1984.0010000

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Information Disclosure Statement;
2. Two (2) sheets of Form PTO-1449 listing seven (7) reference documents;
3. One (1) copy each of reference documents **AA1**, **AL-AM1** and **AR1-AT1**, and **AR2**; and
4. One (1) return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

Commissioner for Patents  
January 16, 2003  
Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

A handwritten signature in black ink, appearing to read "Patrick E. Garrett". The signature is stylized with a large initial "P" and "G".

Patrick E. Garrett  
Attorney for Applicant  
Registration No. 39,987

PEG:mlb  
Enclosures

SKGF\_DC1:93415.1



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Bladen *et al.*

Appl. No. 09/988,780

Filed: November 20, 2001

For: **Method, System and Computer  
Program Product for Risk  
Assessment and Risk Management**

Confirmation No. 9116

Art Unit: 2164

Examiner: (to be assigned)

Atty. Docket: 1984.0010000

**Information Disclosure Statement**

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**JAN 21 2003**

**GROUP 3600**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may

not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- ☒ 2. Filing under 37 C.F.R. § 1.97((b)). This Information Disclosure Statement is being filed before the mailing of a first Office Action. No statement or fee is required.
- ☐ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
  - ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ c. Attached is our PTO-2038 Credit Card Payment Form [OR] Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:
  - ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
  - ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- 5. Documents AA1, AL1, AM1, AR1 and AS1 were cited in a communication from a foreign patent office in a counterpart foreign application. A copy of the

communication is enclosed as document AR2 for the convenience of the Examiner.

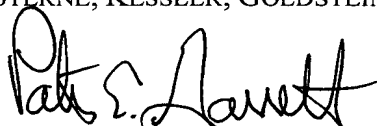
- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below:
- ☐ 7. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

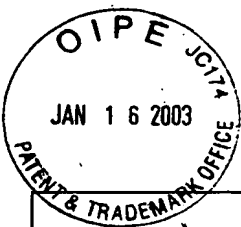
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Attorney for Applicants  
Registration No. 39,987

Date: 1/16/03

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FORM PTO-1449

INFORMATION DISCLOSURE STATEMENTATTY. DOCKET NO.  
1984.0010000APPLICATION NO.  
09/988,780APPLICANT  
Bladen et al.FILING DATE  
November 20, 2001GROUP  
2164

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA1	5,586,252	12/1996	Barnard et al.			
	AB1						
	AC1						
	AD1						
	AE1						
	AF1						
	AG1						
	AH1						
	AI1						
	AJ1						
	AK1						

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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AL1	2 365 173 A	02/2002	GB	G06F	17/60	N/A
	AM1	WO 02/21371 A1	03/2002	PCT	G06F	17/60	N/A
	AN1						Yes No
	AO1						Yes No
	AP1						Yes No

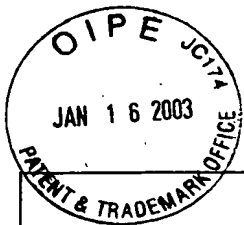
## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>1</u>	AUDIT - Safety Software Audit & checklist system to manage OHS & Safety Audits for OHS compliance, from <a href="http://www.safetyassitant.com.au/AUDIT.html">http://www.safetyassitant.com.au/AUDIT.html</a> (as archived at <a href="http://www.archive.org">http://www.archive.org</a> ), 4 pages (September 2000).
AS	<u>1</u>	Whole School Health and Safety Management, from <a href="http://www.schoolshealthandsafety.co.uk">http://www.schoolshealthandsafety.co.uk</a> (as archived at <a href="http://www.archive.org">http://www.archive.org</a> ), 2 pages (October 2000).
AT	<u>1</u>	Food Safety Risk Management System, Johnsons Environmental System, pp. 1-21 (2000).

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



FORM PTO-1449

INFORMATION DISCLOSURE STATEMENTATTY. DOCKET NO.  
1984.0010000APPLICATION NO.  
09/988,780APPLICANT  
Bladen et al.FILING DATE  
November 20, 2001GROUP  
2164

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA2						
	AB2						
	AC2						
	AD2						
	AE2						
	AF2						
	AG2						
	AH2						
	AI2						
	AJ2						
	AK2						

REC-11-  
JAN 21 2003  
GROUP 3600

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AL2						Yes No
	AM2						Yes No
	AN2						Yes No
	AO2						Yes No
	AP2						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	2	Copy of Examination Report from UK Application No. GB 0108045.6, 6 pages (mailed August 5, 2002).
	AS	2	
	AT	2	

EXAMINER

DATE CONSIDERED

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